



U.S. Air Force



U.S. AIR FORCE

Integrity - Service - Excellence

The Inspector General



*Chief, Information Technology &
Policy*

(SAF/IGQ)

(703) 588-1542 /DSN 425-1542

U.S. AIR FORCE



Enabling Learning Objectives (ELO)



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■ Knowledge and Comprehension ELOs:

- Describe the USAF IG organization
- Describe the IG's authority
- Describe the purpose of the IG Complaint Program
- Name 3 matters considered not appropriate for the AF IG complaint system
- Identify the 3 phases of the complaint resolution process
- Describe the complaint analysis process



Enabling Learning Objectives (ELO)



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■ Knowledge and Comprehension ELOs:

- Describe the Automated Case Tracking System (ACTS III)
- Describe how allegations of wrongdoing against senior officials are processed
- Describe how allegations of wrongdoing against colonels and officers in equivalent grades are processed
- Describe the 2 AF IG records release programs



Enabling Learning Objectives (ELO)



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■ Knowledge and Comprehension ELOs:

- Identify those Air National Guard positions designated as having the authority to direct an IG investigation (appointing authority)
- Describe IG Command Relationships
- Describe the purpose and reasons to inspect
- Describe the types of inspections



Overview



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- **History of USAF Office of the Inspector General**
- **SAF/IG (TIG) Organizations**
- **Command/IG Relationship**
- **SAF/IG Mission Elements**
- **SAF/IGQ: Complaints Resolution**
- **SAF/IGI: USAF Inspection System**



History

U.S. Air Force Inspector General



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- **National Security Act of 1947:** Separated the Air Force from the Army
- **Air Force Inspector General established in Jan 48**
- **MG Hugh Knerr appointed 1st USAF IG**
- **Concept:**
 - Must be broader due to highly technical nature of materiel & operations
 - Must extend influence to the lowest echelon
- **Mission:** Assist CSAF in determining combat readiness, logistics and investigation of crimes and other violations of the public trust



History

U.S. Air Force Inspector General



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■ **Autonomous Air Force Construct:**

- Decentralized Operations
- Delegation of command authority Through Deputies
- Consolidation/streamlining into business like org
- Designed for efficiency of Ops according to highest standard of American business
- Emphasis on assistance & prevention

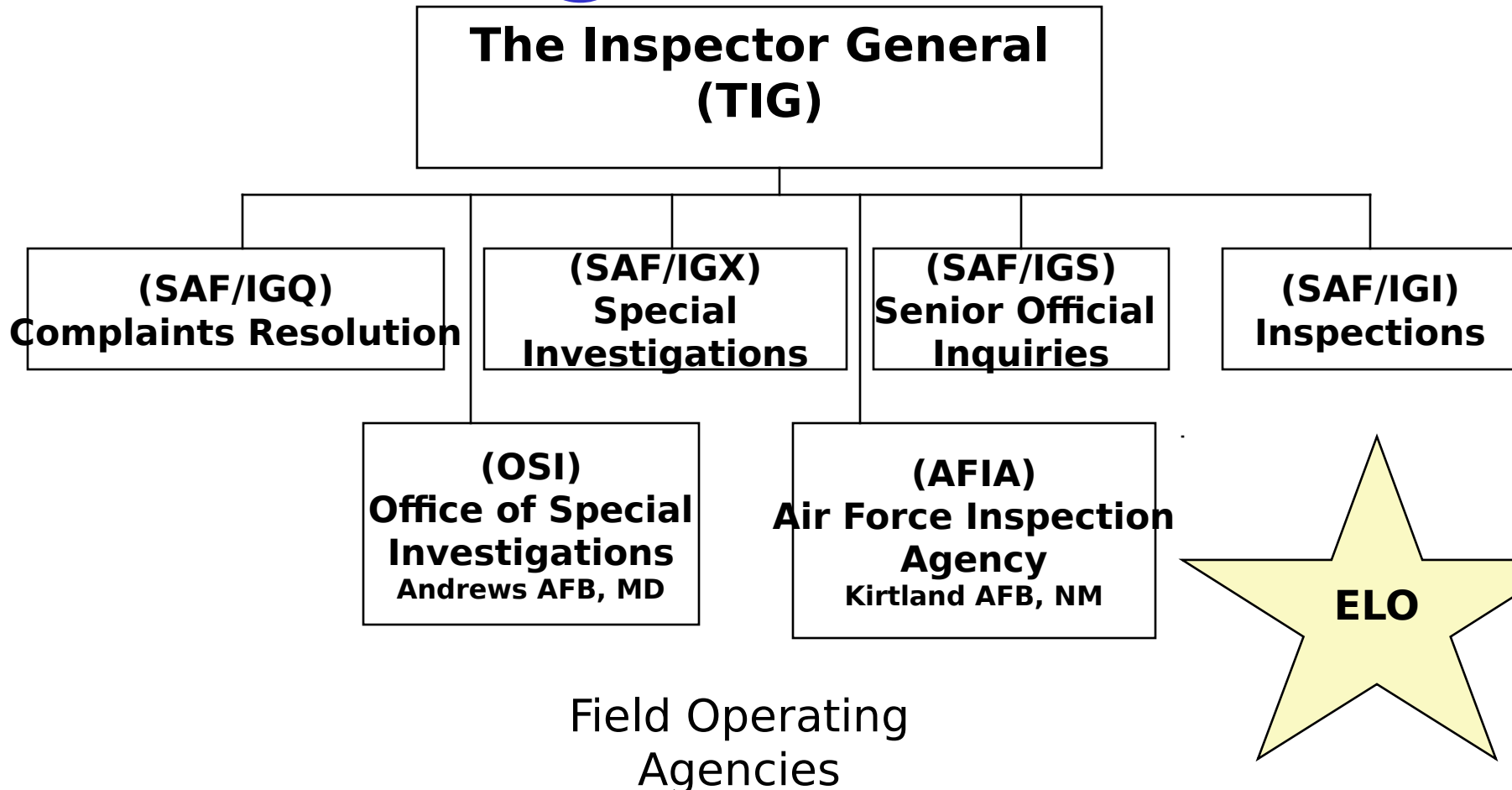


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SAF/IG

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Organization





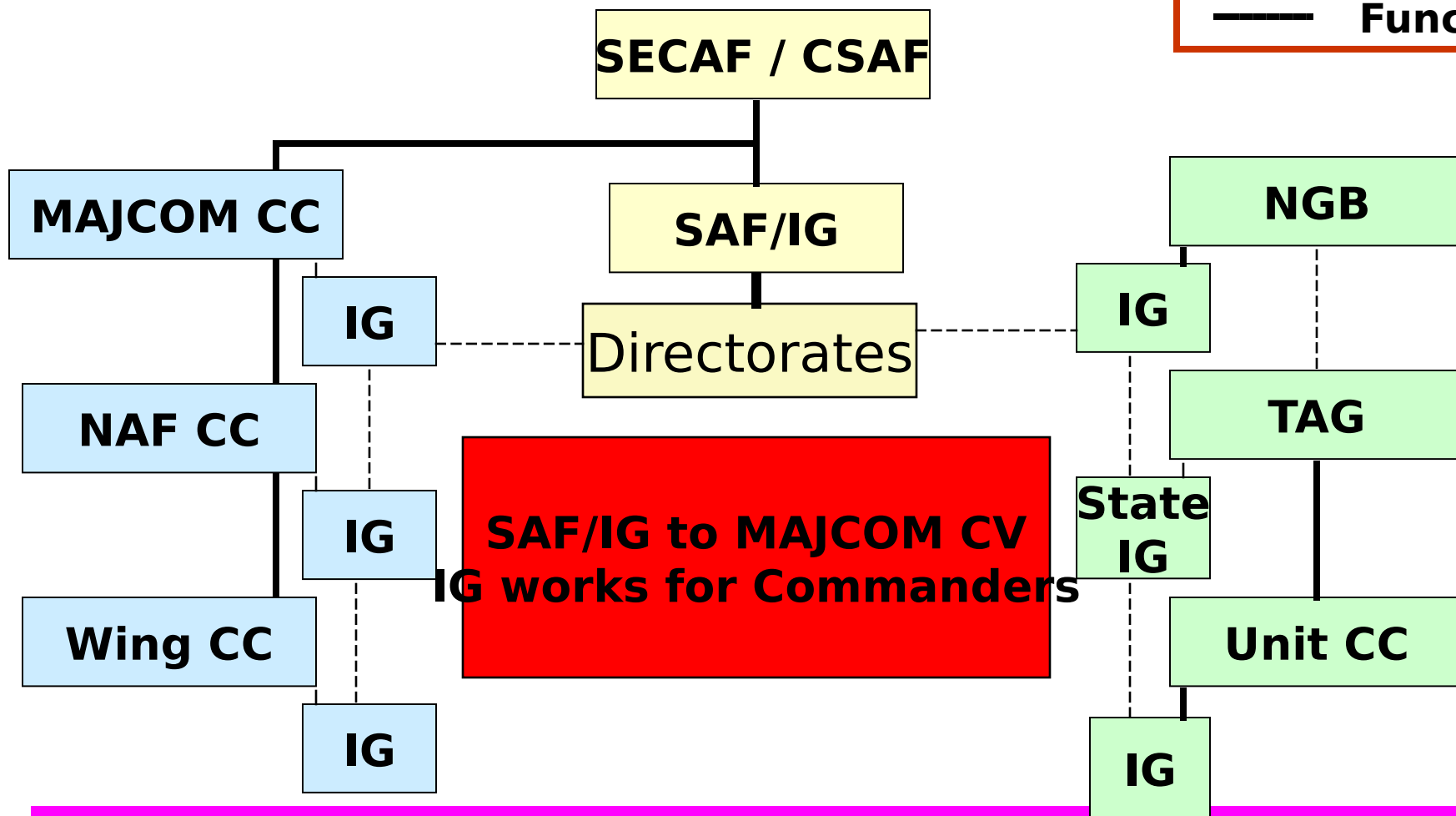
IG/Command Relationships



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— Command
— Functional





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Installation IG Program & Complaints Resolution (SAF/IGQ)

ef: HQ AF/CV Ltr, 15 Aug 95, Wing/Installation IG & SAF/IG Ltr, 9 Feb 96, CONOPS for Wing/Installation IG



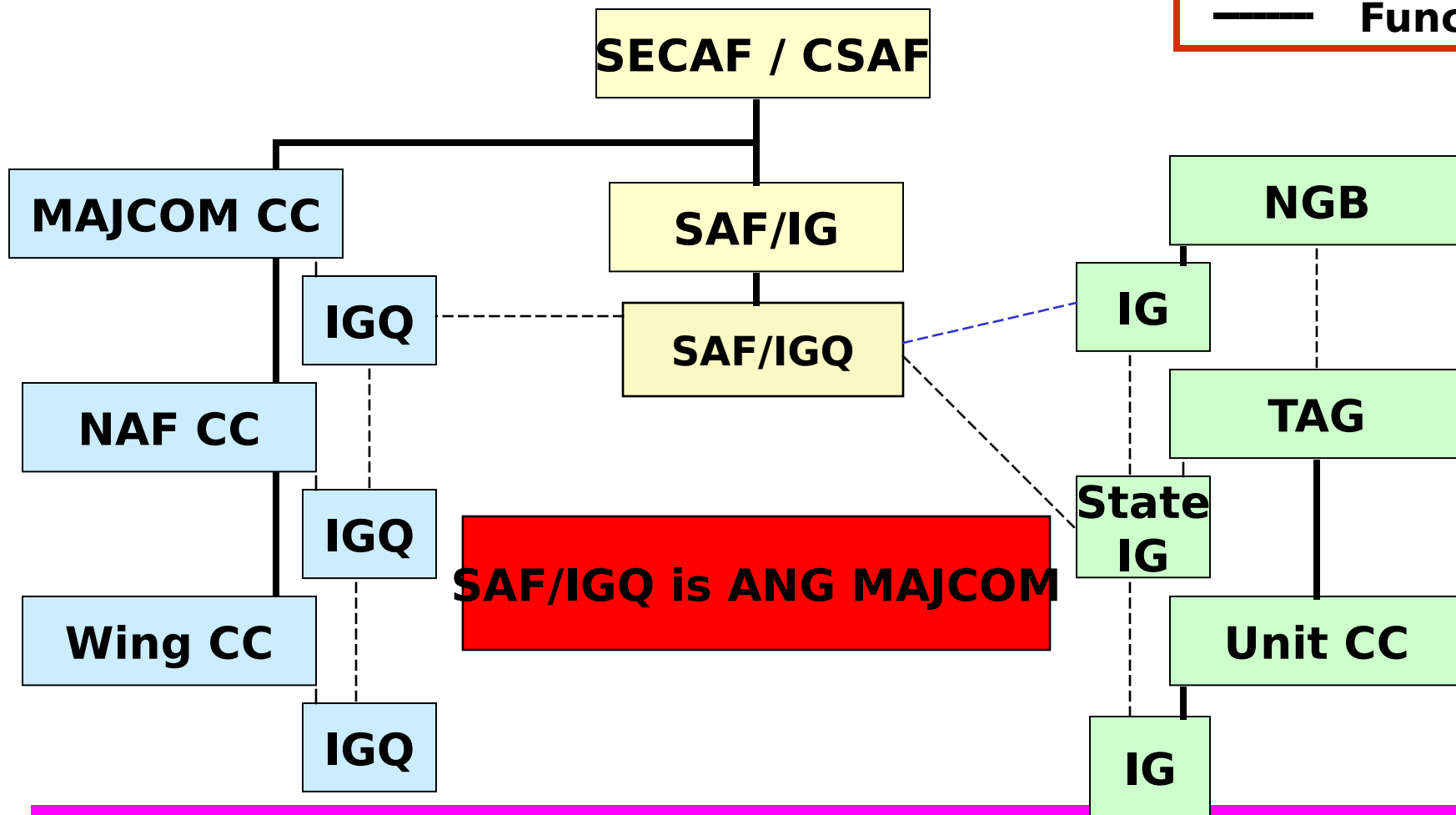
IGQ Command Relationships



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— Command
— Functional





Governing Directives

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- **AFPD 90-3, “*Inspector General—The Complaints Program*”, 1 Nov 99: establishes AF/IG complaints and FWA program.**
- **AFI 90-301, “*Inspector General Complaints Resolution*”, 8 Feb 05: implementing document**



SAF/IG Authority



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- **10 USC 8020:** SAF/IG has authority to inquire and report upon discipline, efficiency, and economy of the AF
- **DoDD 5106.1** (IG, DoD) & **DoDI 7050.3** (IG Access to Records)
- **Authority to direct an IG investigation is vested [only] in the Appointing Authority** (Paragraph 1.5)
- **Appointing Authorities:**
 - SECAF
 - USAF Chief of Staff
 - SAF/IG & designees
 - Chief, National Guard Bureau & State Adjutant Generals





SAF/IG Authority



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■ **Appointing Authorities (cont'd)**

- MAJCOM, FOA, DRU, NAF, Center, installation and wing commanders
- IG may be designated in writing as Appointing Authority
- SAF/IG must approval any appointment not covered above

■ **Subordinate IG authority derived from AFI 90-301**



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Installation IG Program



Installation IG Programs

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- At CORONA TOP 95 AF Sr. leadership embraced DoD's recommendation to establish full-time Installation IG to address concerns over dual-hatting vice commanders as IG
- * The Air Force Vice Chief of Staff directed establishment of separate full-time installation IG at all USAF installations
- The focus: Air Force complaints and Fraud, Waste, and Abuse (FWA) Programs

** HQ AF/CV memo dated 15 Aug 1995*



Installation IG Programs

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- **Separate IG function at installation/wing level**
 - **0-6/Col: Installations with 5000 or more population**
 - **0-5/Lt Col: Installation less than 5000**
- **Segregating IG and CV responsibilities**
- **1999 - 2000 ANG implemented the Wing IG Program**



Installation IG Program



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- **Single point of entry** for [complaints] at all AD, ANG, & AFRC installations
- **Independent, full-time IG** to remove perceived conflicts of interest, lack of independence, or apprehension by USAF personnel
- **Primary focus is FW&A and complaints**
- **No additional duties which detract from primary responsibilities** (Any duties which might disqualify from conducting unbiased analysis, IO for CDI, Commander's action line POC, focal point for readiness or inspection programs)



Purpose of IG Complaints Program



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■ Tool for the commander

- Where command involvement is needed for systematic, programmatic, or procedural weakness
- Resolve problems promptly and objectively
- Create trust in the IG system (*no fear of reprisal*)
- Instill confidence in AF leadership



Focus: Resolving the complainant's concern (perception) quickly and at the lowest level appropriate

Ref: AFI 90-301, paragraph 1.9



IG Mission Focus



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- **Best interest of the USAF**
 - Sustain a credible IG system
 - Ensure responsive complaint investigation
 - Characterized by objectivity, integrity, and impartiality
- **Objective fact finding**
 - Concerns of complainant and best interest of the AF
- **Ensure IG's personal behavior is above reproach**
- **Educate AF members and commanders of rights and protections**
- **Avoid self-investigation and any perceptions**



Matters Not Appropriate for IG



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- **Civilian employment matters or EEO**
- **Non-Judicial (Article 15) and UCMJ actions (SJA)**
- **Medical treatment complaints (AF/SG)**
- **Military Equal Opportunity** (discrimination, harassment, etc.)
- **Routine personnel actions (LOC, LOR)**
- **Line of Duty determinations**
- **Criminal conduct (SF, OSI, etc.)**
- **Exception:** If process is mishandled, it could become an IG matter.



Ref: AFI 90-301, Table 2.9



Installation IG Training



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■ **Installation IG Training Course (IIGTC)**

(5 days):

- SAF/IGQ OPR
- Attend prior to assignment or NLT 90 days after assignment (to include ANG IG)
- Attendance coordinated through MAJCOM or equivalent command
- Other DoD or US Gov't agency nominate IIGTC attendance to SAF/IGQ
- IGs train subordinate IGs, staff, and IOs
- SAF/IGQ website "www.ig.hq.af.mil/igq"



Investigating Officer



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■ **Investigating Officer (IO) Training:**

- IG responsible for IO training
- SAF/IGQ web based IO Toolkit (www.ig.hq.af.mil/igq)
- SAF/IGQ provided IO Training Course
 - MAJCOM level IG nominates attendees to SAF/IGQ
 - Course dates and locations listed on website

Secretary of The Air Force Office of The Inspector General

[Main Page](#) Directorates: [Inspections \(SAF/IGD\)](#) [Complaints Resolution \(SAF/IGQ\)](#)
[Senior Official Inquiries \(SAF/IGS\)](#) [Special Investigations \(SAF/IGX\)](#)

Mission: The Inspector General of the Air Force (SAF/IG) independently assesses the readiness, discipline, and efficiency of the Air Force. SAF/IG is responsible to the Secretary and Chief of Staff for Air Force Inspection policy; Intelligence Oversight, Criminal Investigations, Counterintelligence Operations, Complaints program, Fraud, Waste, and Abuse program, the Air Force Inspection Agency, and the Air Force Office of Special Investigations.

The Inspector General:
[**Lt Gen Steven R. Polk**](#)

Deputy Inspector General:
[**Major General Jeffrey M. Musfeldt**](#)



Headquarters Air Force SAF IG IGQ Home DoD IG

Secretary of the Air Force Office of the Inspector General Complaints Resolution Directorate



Good afternoon, Today is:
April 6, 2005

Home
Return to the main page

About IGQ
Mission Statement

IGQ Locator
List of Inspectors General by MAJCOM and state Inspectors General.

Training
IOTC and IIGTC Training classes, schedules and the newest version of the IO Toolkit plus briefings and the IO Guide.

Filing a complaint
If you want to file a complaint or need information, please contact the Inspectors General Office at the installation nearest you. If you want to get an interim update on a complaint you have already filed, please contact the Inspectors General Office where you originally filed the complaint. [More...](#)



IO Toolkit Version 2.1
Version 2.1 of the Investigating Officer (IO) Toolkit is now available. Last update on March 18, 2003. See the training page to give this tremendous new resource a test drive, or click [HERE](#).

Updated IO Guide

NEW
2005 Worldwide Conference
3-5 May 2005
****REGISTRATION IS NOW OPEN****
(click above for link)

Commander Directed Evaluations vs. Safety Checks
[Click here for the updated information!](#)

2003 Data Call Statistics
The 2003 calendar year data call statistics are now available in PowerPoint. 
The 2002 calendar year data call statistics are also available in PowerPoint. 



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Complaint Resolution Process

Ref: AFI 90-301, paragraph 2.5



Complaint Resolution Process



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- **Three phases/14-step process**

- **Complaint Analysis:** contact, analysis & tasking
- **Investigation:** Pre-fact finding, fact finding, report writing
- **Quality Review:** IG quality review, technical review, legal review, re-work, closure, follow-up, HHQ review & SAF/IGQ review

- **120 days for complaint resolution**



Ref: AFI 90-301, Table 2.1



Complaint Process



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- **Contact/Receipt of complaint:** (Matters regarding USAF operations, organizations, functions, and personnel)
- **Complaint analysis (REQUIRED):** Documented determination if appropriate for IG action and course of action (*atch 2*)
- **Another appeal/grievance channel exists:** IGs refer the complaint or complainant to channels provided by specific law or regulation
- **Referral agencies and grievance channels:** DoD & USAF mandate, specialized investigative procedures



Framing

Integrity - Service - Excellence **Allegation**

- **[SINGLE MOST IMPORTANT FACTOR]** for success
- Clearly/concisely identify complainant's complaint
- Framed allegation [must] contain:
 - Who?
 - Did What?
 - In violation of what standard?
 - When?

(If any question can not be answered, there's probably no complaint)



Complaint Analysis



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- **Documented preliminary review of allegation**
- **Frame allegations**
- **Always results in one of the following actions:**
 - **Investigation**
 - **Dismissal**
 - **Referral** (*outside IG channels*)
 - **Transfer** (*inside IG channels*)
 - **Assist**



AFI 90-301, paragraph 2.12



CA Results



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- **Referring complaints** (Table 2.16):
 - Outside IG channels
 - IG must refer complainant if other redress channels are provided by law or regulation
 - If member alleges appeal process was improperly handled, complainant may enter complaint under AFI 90-301
- **Transferring complaints** (Table 2.7):
 - Inside IG channels (to appropriate level IG)



CA Results



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■ **Dismissal** (Table 2.9):

- No recognizable wrongdoing
- Did not contact IG within 60 days
- Complainant refuses to provide sufficient evidence
- UCMJ Article 138 (*wronged by commander*)
- Frivolous/no appreciable effect on outcome or remedy
- Allegations already reviewed by higher-level IG

AFI 90-301, Table 2.9



CA Results



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■ **Assist** (Table 2.11):

- No evidence of wrongdoing and assistance alone is appropriate i.e., phone calls, question functional experts, or put complainant in contact with appropriate entity.



Summary



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- **Describe the:**

- SAF/IG Organization (*4 Directorates & 2 FOAs*)
- IG's authority (*vested in the appointing authority*)
- Purpose of the IG complaint Program (*tool for the cmdr*)
- Matters not appropriate for IG (*EEO, UCMJ, LOR, etc.*)

- **Identify the 3 phases of the complaint resolution process** (*Complaint Analysis, Investigation & Quality Review*)

- **Describe the complaint analysis process** (*Frame the allegation & task*)



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Investigations



Investigations



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- **IG investigations are [administrative fact-finding] proceedings**
- **Standard of Proof - preponderance of the evidence**
- **All investigations require appointment letter from Appointing Authority**
- **IGs may not appoint themselves as IO**



Investigations



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- **Appointing Investigating Officers** (Paragraph 2.34):
 - Appointed by AA
 - Must have substantial breadth of experience, maturity, and demonstrated judgment
 - Appointment letter is IO authority to conduct & defines the scope of investigations
 - Officer, Sr. NCO (E-7 & above), or civil service (GS-9 & above)
 - IO will be equal to or senior in grade than the subject



Investigations



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■ **Appointing IO (cont'd)**

- Not in subject's chain of command
- Rank requirement not applicable to Senior Officials
- AA must approve rank disparity and document it in ROI
- Investigation IO's only duty
- IO must not be retiring, separating, or being reassigned within 180 days



Investigations



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- **IG trains IO** (SAF/IG Website "<http://www.ig.hq.af.mil>")
 - SAF/IGQ IO Tool Kit
 - SAF/IGQ Investigating Officer Guide
 - CDI Guide
- **Pre-investigation meeting between IG, IO, and JA**
 - Develop investigation plan
 - Framing allegations
 - ID & review supporting documents
 - Draft interrogatories/questions
- **Periodic investigation updates**



Investigations



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■ **Evidence:**

■ **Documentary**

■ **Computer Records:** Coordinate access via SJA

■ **Testimony:**

- All sworn (2.42.2)
- Transcribe verbatim subject, complainant, and key witness testimony
- AA may approve summary testimony for non-essentials
- Telephonic witness interviews

■ **Hearsay:** May be considered

■ **Seek corroboration as much as possible**



Investigations



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■ **Interviews:**

- Typically only IO & witness with tech advisor (if necessary)
- Only [suspects] have right to attorney present
- Subjects may consult an attorney

■ **Civilian Employee Represented by Unions**

- Contact CPO, Labor Relations Specialist & JA
- Union officials may have right to be present



Investigations



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- **Interview Read-Ins**

- Introductions
- Purpose
- Privacy Act
- Rights advisements
- Oath

- **Interview Read-Outs**

- Divulging info
- FOIA
- Hand-off Policy

AFI 90-301, Atch 8



Investigation



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■ **Rights Advisements:**

- AD Suspects: Article 31, UCMJ (Self incrimination)
- If subject becomes suspect - stop interview contact AA and JA
- ANG/Reserves – dependent on member's status
- Civilian witnesses – need not be advised of Fifth Amendment, IG not custodial interrogation (may still be invoked)

AFI 90-301, paragraph 2.45 & Atch 9



Investigations



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■ **Handoff Policy (mandatory)**

- HQ USAF/CC directed.
- Following [initial] interview of subject, IO must personally hand-off the subject to their commander, 1st Sgt or supervisor
- If any witness appears distressed, handoff
- Handoff documented in ROI
- If subject invokes Article 31 rights, advise commander



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BREAK



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Intelligence Oversight



Intelligence Oversight



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- **SAF/IG:** Chairs the AF Intelligence Oversight Panel
- **SAF/IGI:** Addresses Intel Oversight issues
- **SAF/GC:** legal counsel for all AF Intelligence Oversight issues
- **USAF/XOI:** Develops policy to ensure supervision & control of AF IO activities

AFI 90-301, Section 3J



Intelligence Oversight



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■ USAF IG Complaint Process:

- Alleged violation reported to IG at 1st level where IG is assigned and not associated with the questionable activity
- IG refers allegations to senior Intel officer at the appropriate level of the organization where alleged violations occurred. Copies to local SJA.
- Receiving IG does not investigate IO matters

AFI 90-301, Section 3j



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Automated Case Tracking System (ACTS) III



Automated Case Tracking System



Integrity (ACTS) III Service - Excellence

- **AF IG tool to capture all IG investigative and administrative activity Air Force-wide**
- **Data collection tool for all IG levels**
- **Case management and trend analysis primary objective**
- **Centralized repository accessible through the Worldwide Web**
- **Intuitive, tab oriented interface, coupled with efficient navigation**





Secretary of the Air Force
Inspector General
Automated Case Tracking System

Build: 3.01.04

Logoff | Home | Help | User Manual

Search:

[Global Search](#) | [Other Searches](#) | [Search Help](#)

MANAGEMENT: **Complaints** Reports View Admin

Daily Message 

Welcome **LtCol. McFarland**, your last successful login was on **06-Apr-2005** at 13:11.

World Wide Training Conference is 3-5 May here in Washington DC. ACTS III policies and issues will be a breakout session. Send ideas, comments and suggestions to your MAJCOM rep for inclusion in the seminar.

Priority Alerts 

[2004-01412](#) - Complaint Sent
[2004-01919](#) - Complaint Sent
[2004-02272](#) - Complaint Sent
[2004-02606](#) - Edit Session in Progress
[2004-03286](#) - 15 Work Days To Task a New Complaint

[More...](#)

SAF Group InBox 

Group box is empty

Please contact your MAJCOM Administrator if you experience problems accessing the system or notice any defects or want to recommend enhancements.

Complaints: [Create](#) | [Search](#) | [Bulk Search](#) --- Alerts: [View](#)

Reports: [Case File Worksheet](#) | [SOUIF](#) | [Reports](#) | [Record Retention Worksheet](#) | [ACTS III User Directory](#)

* **Fields are mandatory**

Number of Days Open: **0**

FRNO: **2005-02890**

Complaint Status: **New**

Complainant: **Not Specified**

General Info		Originating Source	
Complaint Status	New	* Originating Source	-- Select --
FRNO	2005-02890	Source Reference Number	
Anonymous Complainant	☐	Point of Contact	
Follow Up Indicator	☐	Suspense Date	
Non-IG Indicator	☐	Actual Response Date	
Command Unit Status		Comments	

! Source Reference Number can apply generically to any type of source. For example, for DoD type sources, the Source Reference Number can represent the DoD Hotline

Worked The Case

Command Unit IG **-- Select --** *MAJCOM/DRU/FOA*

NAF/State IG **-- Select --**

Installation IG **-- Select --**

* Assigned AO **McFarland, Marquis LtCol**

Timelines

* Open Date

Analysis Complete Date

Tasking Date

Functional Area List

No Functional Areas Assigned

Add New Functional Area

Special Interest Category

No Special Interest Categories Assigned

Add New Source

The Complaint

Where did the complaint occur?

* Installation **-- Select --**

Or, if *Other* was selected

* Nature of Complaint

Special Interest Category

No Special Interest Categories Assigned

Add New Special Interest Category

Add a Case Note

Add

Save Changes Submit Complaint Undo All Changes

Complaints: [Create](#) | [Search](#) | [Bulk Search](#) --- Alerts: [View](#)
Reports: [Case File Worksheet](#) | [SQUIF](#) | [Reports](#) | [Record Retention Worksheet](#) | [ACTS III User Directory](#)
Admin: [Change Password](#) | [Add User](#) | [Disable User](#) | [Modify User](#) | [Reset Password](#) | [Manage Content](#)



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Special Complaints

Ref: AFI 90-301, Chapter 3



Special

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Complaints

- **Senior Officials**
- **Colonels (O-6 or equivalent)**
- **Reprisal**
- **Improper Mental Health Evaluations (IMHE)**
- **Congressional**
- **Military EOT Complaints**
- **USAF FWA Program**
- **DoD Hotline**



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Senior Officials

Ref: AFI 90-301, Sec 3A



Colonels & Sr. Officials



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**Colonels/GS-15
& Selects**

MAJCOMs
Investigate
Reviewed by
SAF/IGQ

**Senior Officials:
General Officers/
SES/ & Selects**

Only SAF/IGS
Investigates
Excep
-- DoD/IG Investigates 4-
Stars/
Special High Interest
Cases



Senior Officials



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- **Senior Officials: 0-7 (selects) /GS-15 & above, SES and current/former Presidential appointees**
- **SAF/IGS manages Senior Official (SO) Complaint Program**
 - Violations of EOT policy by Sr. Officials
 - SAF/IGS will comply with AFI 90-301 policies & Procedures
 - Civ Pers, EEO & MEO must provide same info to SAF/IGS for SO





Senior Officials



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- **Commanders & IGs at *[all levels]* notify SAF/IGS of any allegations against SO**
 - EEO offices notify Air Force Civilian Appellate Review Office (SAF/MRBA) who in turn notifies SAF/IGS
- **IG receiving allegation against SO may inform *[their]* commander about general nature of complaint and identity of subject**
- **SAF/IGS conducts complaint analysis**
- **SAF/IGS make recommendation to SAF/IG (TIG) on best course of action**
- **Notifications IAW AFI 90-301, Table 3.1**



SOUIF



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- **Senior Official Unfavorable Information File (SOUIF)**
 - Written summary of adverse info prepared by SAF/IG
 - SOUIF on GO date back to last Senate confirmation
 - Used [**solely**] during GO promotion process
- **SAF/IGS central repository for adverse info on GO** (*SAF/IGQ central repository for adverse info on colonels*)
- **SAF/GC determine if SOUIF summary is provided to board**



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Colonels (O-6 & Equiv)

Ref: AFI 90-301, Sec 3B



Applicability



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■ **Applicable to:**

- USAF & AF Reserve 0-6 Colonels
- USAF & AF Reserve 0-6 Colonel selects
- ANG 0-6
- ANG 0-5 assigned to an 0-6 billet



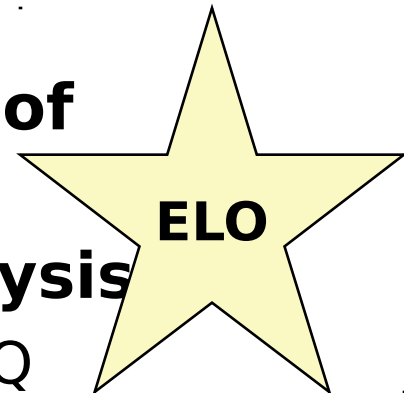
Colonel



Investigations

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- **IGs at [all levels] must notify SAF/IGQ of adverse info on colonels**
- **IG at all levels conduct complaint analysis**
 - If investigation not warranted, notify SAF/IGQ
- **Civ Pers & MEO must notify SAF/IGQ**
 - Provide status report to SAF/IGQ after 90 days and 1st of every month until resolution
- **EEO notifies SAF/MRBA who notifies SAF/IGQ**
- **Provide SAF/IGQ closure docs IAW Table 1.1, rules 3 & 4 & Table 3.3** (Regardless of finding)





Colonel SOUIF



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■ SOUIF on Colonels

- Based on adverse info dating back 10 years preceding the convening date of the selection board
- Used solely during GO promotion board

■ Colonels Assigned to Joint Activities

- Joint commands must notify SAF/IGQ of allegations against USAF colonels or equivalents
- Provide SAF/IGQ copy of final report or cmd action
- Notify SAF/IGQ when charges are referred to a court-martial, or when subject to Article 32, UCMJ Investigation



CMD Directed Inquiry

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- **Commanders immediately notify SAF/IGQ when beginning a CDI**
- **Upon completion, commanders will provide SAF/IGQ copy of required documents** (Table 1.1)
- **The commander, not the IG, is the release authority for CDI reports - unless they pertain to Sr. Officials** (SAF/IGS is the release authority for these)

AFI 90-301 paragraph 3.13



Summary



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■ Describe:

- ACTS III (*WWW based automated database*)
- Process for senior officials (*SAF/IGS is OPR*)
- Process for colonels (equivalents) (*SAF/IGQ is OPR*)



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Reprisal Complaints (Title 10 USC 1034) Whistleblower Protection Act

AFI 90-301, Section 3C



Restriction Defined



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Sec 1034 (a)(1): No person may restrict a member of the armed forces in communicating with a Member of Congress or an IG.

DoDD 7050.6, para 4.1: Members of the Armed Forces shall be free to make [protected communication] ...any person in the chain of command.

Title 10, Subtitle A, Part II, Chapter 53, Section 1034



Restriction Issue



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In effect - placing conditions on making a PC is restriction.

The “*Chilling Effect*”: The perception in someone’s mind that a voice of authority implied restriction to the IG or a Member of Congress

Restriction (Yes/No)?

“Use your chain of command before taking your concerns outside the organization”

Title 10, Subtitle A, Part II, Chapter 53, Section 1034



Restriction Process



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- **Process same as 1034 Reprisal**
- **[Closure] authority is vested in the AA with jurisdiction over the complaint**
- **IG, DoD information copy**

AFI 90-301 paragraph 3.34



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Protected Communication

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Section 591 National Defense Authorization Act for Fiscal 2005 amends 1034 to clarify that **[any individual within a Military member's chain of command can receive protected communications]**. *"Protections of the statute specifically include [certain] communications a Military member makes to 'any person or organization in the chain of command ...'"*

Supervisory chain of command or Command?

IG, DoD ltr dtd 6 Dec 04, Subj: Military Whistleblower Protection



PC FYI



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- **Any person in the chain of command** (*AFI 90-301 para 3.16.1.2.1.1*)
 - Commander no lower than squadron/equivalent level
- **USAF Academy Cadet Counseling & Leadership Dev Ctr.**
- **Flight Commanders**
- **CMSgt of AF, Command CMSgt and 1st Sgts**
(ARC equivalents)

AFI 90-301, paragraph 3.16.1.2.1.



Unfavorable Personnel Action



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Any action taken on a member of the Armed Forces that affects or has a potential to affect (e.g., a threat) that military member's current position or career

AFI 90-301, Attachment 1 "Terms" - Personnel Actions



Unfavorable Personnel Action



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■ **Such actions include (but are not limited to)**

➔ **Demotion**

- ▮ **Disciplinary or other corrective action**
- ▮ **Transfer or reassignment**
- ▮ **Performance evaluation**
- ▮ **Significant change in duties or responsibilities inconsistent with the military member's rank**
- ▮ **Decisions impacting pay, benefits, awards, or training**
- ▮ **Referral for mental health evaluation (MHE)**



Summary



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- **Restriction**
- **Protected Communications**
- **Unfavorable Personnel Actions**



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Congressional Taskings

AFI 90-301, Section 3E



Congressional



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- **Office of Legislative Liaison (SAF/LLI):**
responds on behalf of USAF
 - Congress contact SAF/LLI
 - SAF/LLI tasks SAF/IGQ
 - SAF/IGQ notifies SAF/LLI
- **Direct congressional to USAF units**
 - Usually addressed by local IG
 - For IG investigations, final response to complainant
 - Courtesy copy SAF/IGQ to SAF/LLI



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DoD Hotline Complaints



DoD Hotline Complaints



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- **SAF/IGQ is entry point for USAF complaints**
- **SAF/IGQ generally transfers or refers DoD HL as appropriate**
- **Hotline Completion Reports (HCR) forwarded to DoD/IG via SAF/IGQ** (usually 60 day suspense)



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IG Records Release

AFI 90-301, Chapter 4



IG Records Release



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- **2 ways to get IG Records**
 - Official Use Requests (*Including Discovery*)
 - Freedom of Info/Privacy Act Requests
- **SAF/IG is the release authority for IG records outside IG channels**
- **IG Records are not used for promotion consideration** (perceived denial of due process)



ELO

AFI 90-301, Chapter 4
SAF/IGQ website: *Release of IG Documents—How to Guide*



Official Use



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Requests

- **SAF/IG is release authority for all IG records under OUR**
 - SAF/IGS is release authority for Sr. Official IG records
 - SAF/IGQ is release authority for colonel & below IG records
 - Appointing Authority is release authority for requests regarding command action
 - May be redacted
- **IG records released only after case closure**

AFI 90-301, Section 4B



Freedom of Information & Privacy Act



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(FOIA/PA)
Integrity - Service - Excellence

- **SAF/IG release/denial authority for all IG records**
 - SAF/IGS for Sr. Officials
 - SAF/IGQ for substantiated colonel cases
- **MAJCOM, FOA or DRU [IG] are release/denial authority for IG records at their level (4.12.2)**
- **MAJCOM, FOA, DRU IG FOIA/PA requests must be coordinated with SJA (4.15.1)**

SAF/IGQ Website: *"Release of IG Documents—How to Guide"*
DoDR 5400.7/AF Supplement



FOIA/PA



Integrity - Service - Excellence

■ **Reserve Components:**

- SAF/IGQ (ANG MAJCOM) release/denial authority for ANG cases
- Title 10 FOIA/PA records kept in federal system of records
- Title 32 records in State/unit system of records
(*Federal government should not retain copies of these records*)

■ **Release/denial authority maintains IG records**

■ **Do not release the original record - copy**

AFI 90-301, paragraph 4.12.2.3



Integrity - Service - Excellence

Air National Guard



Air National Guard



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Integrity - Service - Excellence

- **Dual mission: State** (Title 32) /**Federal** (Title 10)
- **SAF/IGQ is ANG MAJCOM**
 - 1997 there were issues of ANG complaint handling through Army State IGs
 - Integration of ANG mbrs of NGB-IG in SAF/IGQ
- **ANG Wing IG program**
 - IG assigned to all ANG flying units
 - IG is traditional O-5/Lt Col position
 - Reports to and selected by Wing Commander
 - All ANG complaints processed IAW AFI 90-301 (1.16.2)



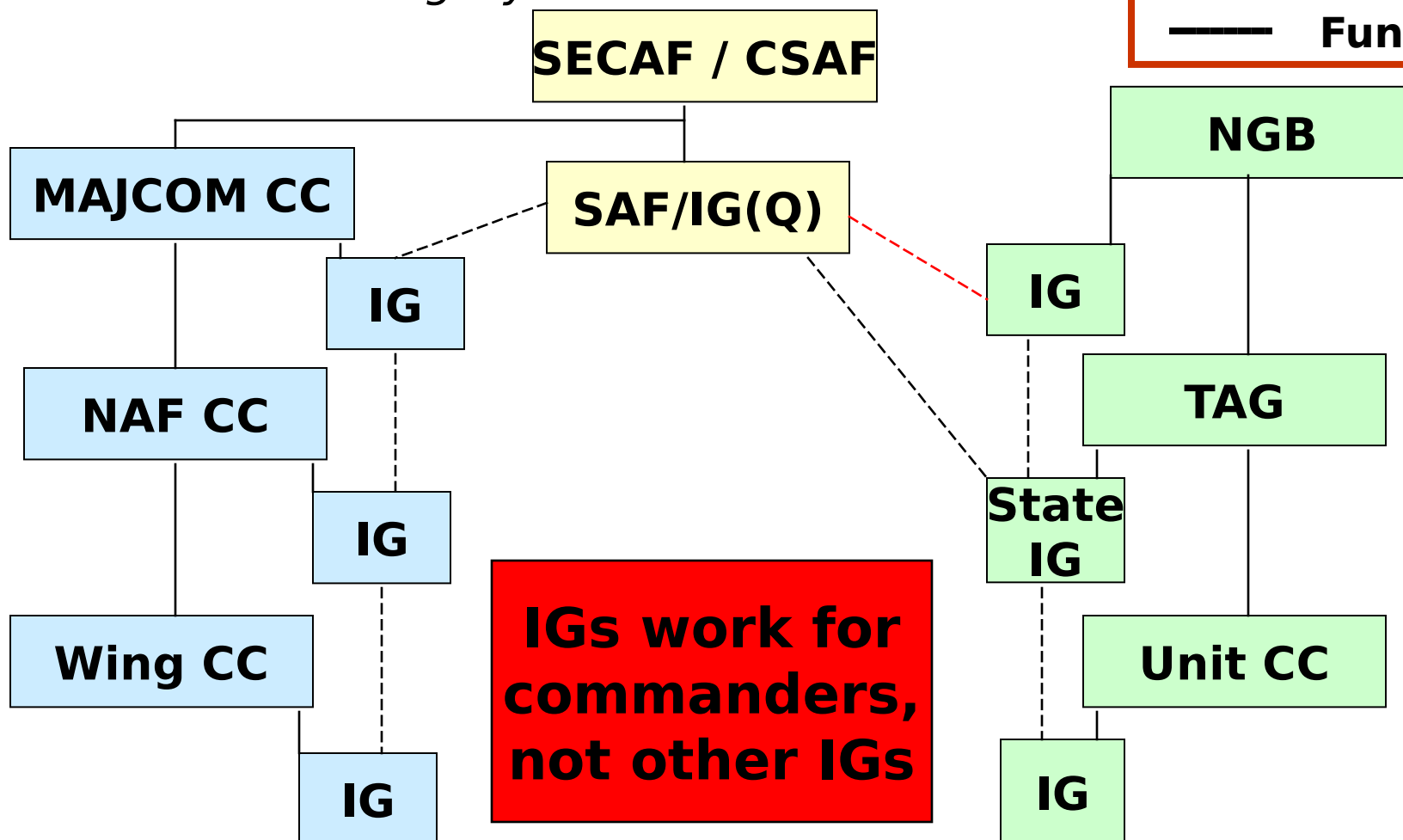
Command Relationships Guard/Reserves



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— Command
— Functional





ANG Wing IG Program



Integrity - Service - Excellence

■ Title 32

- Generally missions within the state
- Active Guard Reserve, Technician and traditional status
- TAG/CG is command authority & appointing authority

■ Title 10 ANG of the United States (ANGUS)

- Voluntary statutory tours (SAF/IGQ, NGB, ANGRC, etc.)
- Relieved of duty with state ANG
- 201MSS exercises admin control (ADCON) I.e. promotions, awards, etc.
- OPCON assumed by the gaining AF Activity



ANG Wing IG Program



Integrity - Service - Excellence

■ Title 10

- Deployed – contact active duty IG
- If complainant, subject & allegations are within the state:
 - TAG has jurisdiction for the IG investigation
 - 201MSS for command action





ANG Wing IG Program



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■ Title 32

- The Adjutant General (TAG) or Commanding General (CG) is the appointing authority for the state
- Wing Commanders are also appointing authorities
- Complaints processed IAW AFI 90-301
- SAF/IGQ is the MAJCOM
 - Higher HQ review for State IG
 - Coordinate Investigations/Investigating Officials





Summary



Integrity - Service - Excellence

- **ANG dual mission** (Title 32 & 10)
- **Appointing authorities:**
 - Title 10: Chief, National Guard or SAF/IGQ
 - 201MSS - ADCON
 - Gaining command - OPCON
 - Title 32: TAG/CG for the state, district or territory
- **ANG Wing IG same responsibility as AD IG**



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QUESTIONS



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BREAK



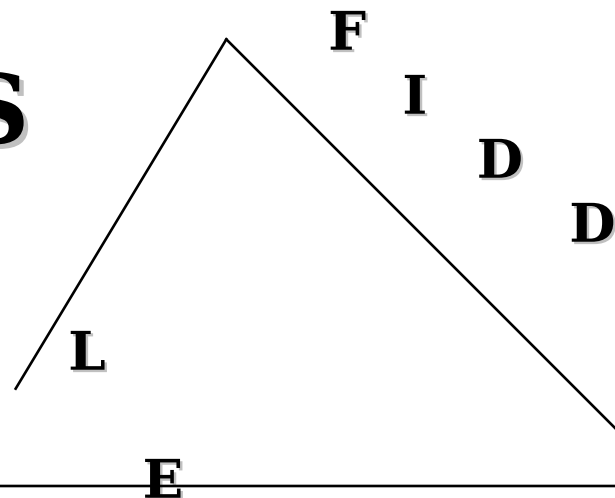
Integrity - Service - Excellence

USAF Inspection System

SAF/IGI

ALL/world

PRE4SS



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Enabling Learning Objectives (ELO)



Integrity - Service - Excellence

■ Knowledge and Comprehension ELOs:

- Describe IG Command Relationships
- Describe the purpose and reasons to inspect
- Describe the types of inspections



USAF Inspection System



U.S. AIR FORCE

Integrity - Service - Excellence

- **IG Inspection Mission**
- **History**
- **Regulatory Guidance**
- **AFI 90-201**
 - **Responsibilities**
 - **Program and Inspection Elements**
 - **Types of Inspections**
 - **AFIA**

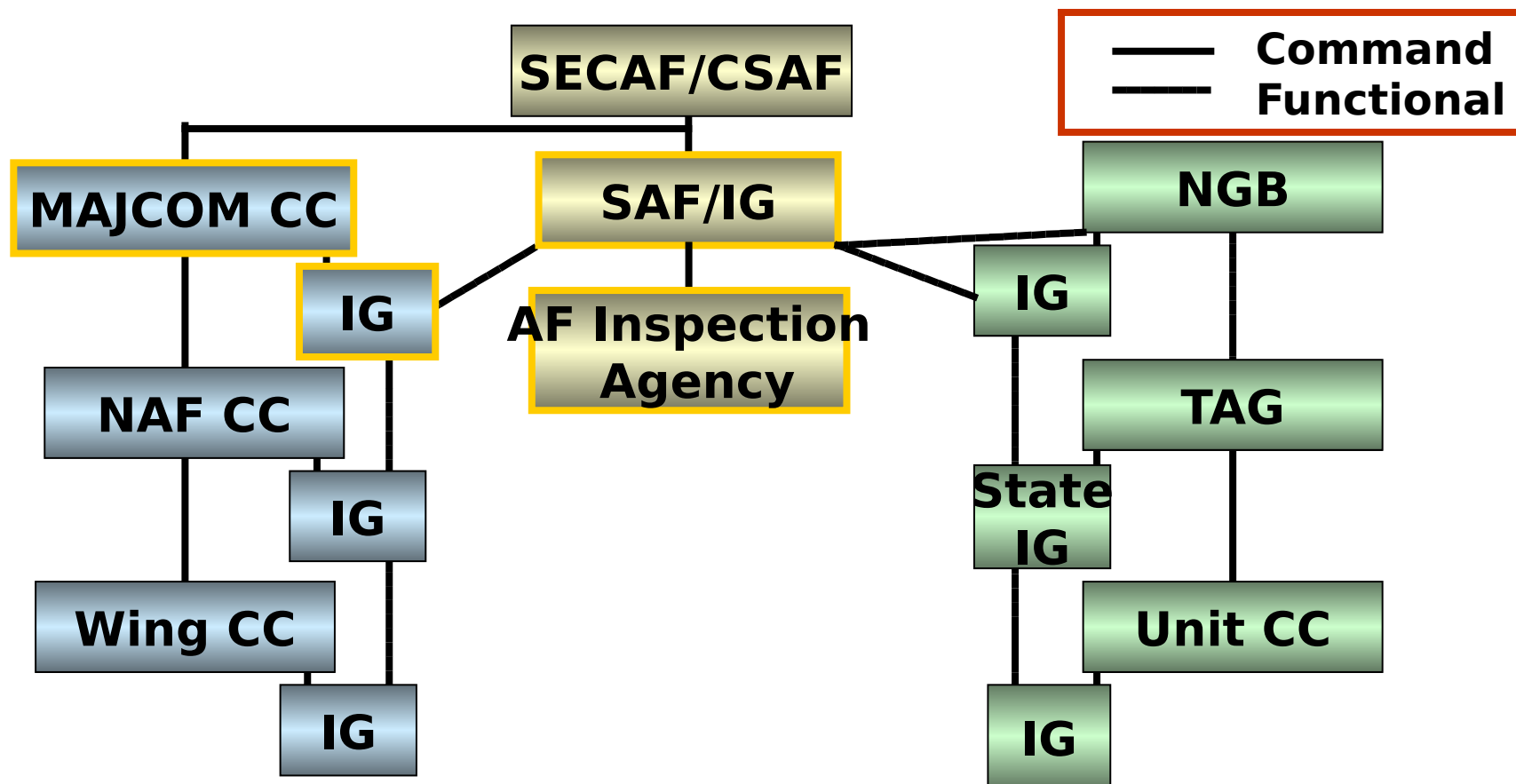


IG Command Relationships Active/Guard



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Integrity - Service - Excellence





IG Command Relationships



U.S. AIR FORCE

Integrity - Service - Excellence

**IGs at all levels work for
commanders, not other
IGs**





IG Inspection Mission



Integrity - Service - Excellence



**To provide Air Force
leaders a credible,
independent
assessment of force
capability:**

- combat readiness***
- effectiveness***
- efficiency***





King Charles I



Integrity - Service - Excellence

■ Articles of War (1629)

The IG must have a horse and some soldiers to attend to him and all the rest are commanded to obey and assist, or else the army will suffer. For he is but one and must correct many, therefore, he cannot be beloved.



Historical Approaches



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- **Historically, three approaches**
 - **Compliance**
 - **Quality**
 - **Readiness**
- **Approach previously dictated**
- **Now, Major Commands can decide**



“Compliance” Era



U.S. AIR FORCE

Integrity - Service - Excellence

Time **Emphasis**

Prior to 1993

Compliance

Concept: Black Hat Inspectors

- **Tech order compliance**
- **Self Inspection programs**
- **Rigorous attention to detail**
- **Stringent criteria**



“Quality Based” Era



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Time
1993-1996

Emphasis
Quality

Concepts:

- **Empowerment at lowest level**
- **Focus on streamlining**
- **Reduce checklists/emphasize metrics**
- **Flow chart key process**
- **Show cost/time savings/efficiency**
- **Quality Air Force Assessment**



“Readiness” Era



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Time

Emphasis

**1996-Present
Engagement**

**Readiness/
Constructive**

NEW CONCEPTS

- Focus on ***results***
- Ability to ***deploy worldwide***
- Inspectors as evaluators and ***teachers***



The “Right” Approach



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- Some inspected areas more **compliance** in nature:
 - ***Aircraft maintenance forms / procedures***
 - ***Safety***
 - ***Nukes***

- Some are more **results** oriented:
 - ***Security Forces tactics***
 - ***Weapons delivery (BDA)***

- Some more **quality** oriented:
 - ***Customer Service***



Why Inspect?



Integrity - Service - Excellence

- **What is an inspection?**
 - **Official examination of unit's mission readiness, organizational efficiency, effectiveness, compliance with directives, nuclear surety/safety, as appropriate.**
 - **Basic responsibility of command**



Why Inspect?



Integrity - Service - Excellence

- **Inspection objectives:**
 - **Identify and resolve problems**
 - **Identify good management methods (benchmark candidates)**
 - **Help units establish priorities**
 - **Provide feedback on corrective actions**
 - **Highlight exemplary individuals, teams, and practices**





Regulatory Guidance



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- **Title 10 - Inspections are the law**
- **Executive Orders - Presidential directives implement the law**
- **SECDEF - Civilian control**
- **SECAF/CSAF - Functional directives**
- **Major Commands - Mission specific directives**



Air Force Policy Directive



U.S. AIR FORCE

Integrity - Service - Excellence **AFPD 90-2**

- **Inspector General - The Inspection System**
 - **SECAF Directive implementing responsibilities of SAF/IG**
 - **Directs SAF/IG to assess readiness, discipline, efficiency, and economy of the Air Force**
 - **Directs SAF/IG to report findings to SECAF and CSAF**



Inspector General Activities AFI 90-201



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Provides guidance and procedures for Air Force inspection programs. Applies to all AF functions that direct, conduct, or are subject to inspections



Secretary of Air Force/IG Responsibilities

(AFI 90-201 Chapter 1)



U.S. AIR FORCE

Integrity - Service - Excellence

■ SAF/IG

- Reports on force readiness to the SECAF and CSAF**
- May direct assessment of any AF program or operation (example is Air Force Academy)**
- Approves inspection policy**
- Oversees the Air Force inspection system**
- Approves Air Force Special Interest Items**
- Chairs the Air Force Intelligence Oversight Board**



Major Command Responsibilities (90-201 Chapter 1)



Integrity - Service - Excellence

- **Establish inspection programs consistent with command mission requirements to assess unit readiness and compliance**
 - **Conduct readiness, compliance, and nuclear surety inspections**
 - **Assess readiness of gained Air Reserve Component forces**
 - **Assess compliance of gained Air National Guard units**
- **Ensures deficiencies noted during inspections are corrected**
- **Major Command functional staffs will develop inspection checklist items for use by command IG teams**
 - **Use Air Force-level common core criteria as applicable**
 - **Develop Major Command-level inspection criteria**



Program Elements

(AFI 90-201 Chapter 2)



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- **Footprint reduction**
 - **Air Force policy is to minimize inspection footprint**
- **Alignment with Air Expedition Force rhythm**
 - **Deconflict whenever possible**
- **Grading**
 - **Inspector judgment paramount**
- **Validation**
 - **Must be done**

IG judgment is paramount!



Types of Inspections



U.S. AIR FORCE

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- **Operational Readiness Inspection (ORI)**
- **Nuclear Surety Inspection (NSI)**
- **Unit Compliance Inspection (UCI)**
- **Health Services Inspection (HSI)**





The Perception



U.S. AIR FORCE



**Combatant Command and Joint
Inspector General Orientation Course**



Operational Readiness Inspection

(AFI 90-201 Chapter 2) U.S. AIR FORCE



Integrity - Service - Excellence

■ **Operational Readiness Inspection (ORI)**

- **Evaluates the ability of units with wartime or contingency mission to perform assigned operational missions**
- ***Ability to execute OPLAN taskings is key***
- ***Designed Operational Capability (DOC).***

■ **Frequency**

- **MAJCOMs determine frequency**
- **No more than 60 Months**





ORI Major Graded Areas

(AFI 90-201 Attachment 5)



Integrity - Service - Excellence

■ Major Graded Areas

- Units with a wartime mission will be evaluated in the four major areas:
 - Initial Response
 - Employment
 - Mission Support
 - Ability To Survive and Operate (ATSO)





ORI Major Graded Areas

(AFI 90-201 Attachment 5)



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■ Graded Common Core Readiness Criteria to each Major Graded Area

- Threat**
- Safety**
- Security**
- Communications and Information**
- Training**
- Operational Risk Management**



Compliance Inspection (CI)

(AFI 90-201 Chapter 2)



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- **Assesses areas mandated by law or critical to health and performance of organization. Failure to comply in these areas could result in legal liabilities, penalties, or significant impact.**
- **Frequency: varies among MAJCOMs, but no more than 60 months**





Compliance Inspections

Common Core Compliance Areas



U.S. AIR FORCE

- **Common Core Compliance Areas (CCCAs)**
 - **By-Law Areas**
 - **Mission Areas**
 - **Supported by SubAreas**

- **Criteria**

- **CCCAs are those areas deemed important enough to require a regular, independent, objective IG Inspection**

By-Law Areas	Intel Oversight
	Transition Assistance
	Voting Assistance
	Sexual Harassment
	Homosexual Conduct
	Technology Protection
Mission Areas	Logistics Readiness
	Contracting
	Munitions (non-Nuc)
	Civil Engineering
	Communications & Info
	Full Spectrum Threat Resp
	Safety
	Occupational Health
	Installation Security
	Services
CCC SubAreas	Financial Mgmt
	Personnel
	Aircrew Protection

- Training to support Critical Comm Systems
- Communications Infrastructure
- Spectrum Management
- C2 Systems Management



Nuclear Surety Inspections (NSI) ***(AFI 90-201 Chapter 3)***



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- **Defense Threat Reduction Agency inspects Air Force nuclear capable units at five year intervals IAW Tech Order 11N-25-1, *DoD Nuclear Weapons Technical Inspection System***
- **Air Force inspects nuclear capable units at 18 month intervals IAW AFI 90-201**





Nuclear Surety Inspections (NSI)

(AFI 90-201 Chapter 3)



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- **Evaluates unit's ability to safely and reliably receive, store, transport, secure, maintain, load, and render safe nuclear weapons**
- **Assesses knowledge of weapons acceptance procedures, nuclear weapons safety rules, and nuclear weapon control order handling and authentication procedures**

DAY 1 DAY 2 DAY 3 DAY 4 DAY 5 DAY 6 DAY 7/9 DAY 10

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Team Briefings	Command Disable EX	Broken Arrow EX	FoF EX	Crew Testing	Evac EX	Report Writing	Out Brief
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Nuclear Surety Inspections (NSI) (AFI 90-201 Chapter 3)



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■ Inspection Areas:

- Management and Administration**
- Technical Operations**
- Tools, Test, Tie down and Handling Equipment**
- Storage and Maintenance Facilities**
- Security**
- Safety**
- Supply Support**
- PRP**

■ Logistics Movement

- Explosive Ordinance Disposal**
- Nuclear Control Order Procedures**
- Emergency Exercises**
- Use Control**



Contracted Functions



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Readiness

- **Assess contract : PWS adequacy to meet mission needs and leadership involvement in mission critical contracts**
- **Inspect QA Personnel Performance**

Compliance

- **Inspect Quality Assurance Program compliance: PWS and proper contract management**
- **Inspect QA Personnel training program—right education and functional expertise**



Special Interest Item (SII)

(AFI 90-201 Chapter 2)



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- **Provides AF leadership a means to focus management attention, gather information, and evaluate programs and conditions**
- **Program managed by SAF/IG**
- **AF-wide topics may originate at any level; Major Commands or HQ Functional coordination required**
- **Evaluated during regularly scheduled inspections**
- **Functional staffs analyze data to facilitate decision-making and policy adjustments**
- **Normally one year**



Current Special Interest Items (SII)



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- **06-1: Aerospace Expeditionary Forces Management (Sep 06)**
- **06-2: Sexual Assault Response Coordinator (Sep 06)**
- **06-3: Records Management (Jan 07)**

- **Current (and recent) AF SIIs can be seen at <http://www.ig.hq.af.mil/igi>**



Air Force Inspection Agency

Responsibilities

(AFI 90-201 Chapter 4)



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- **Air Force Inspection Agency**
 - **Publishes *The Inspector General Brief Magazine***
 - **Contains articles related to the improvement of management, safety, security, inspection techniques, lessons learned, and best practices.**
 - **Conducts inspections, assessments, management reviews, and investigations as directed by SAF/IG**
 - **Compliance Inspections of Direct Reporting Us and FOAs**
 - **Health Services Inspections (HSI)**
 - **Eagle Looks**



Eagle Looks

(AFI 90-201 Chapter 4)



Integrity - Service - Excellence

- **Eagle Look Management Reviews**
 - **Independent and objective look at Air Force-wide processes at the request of senior leadership. Eagle Looks include assessment and recommendations.**

- **Sponsors**
 - **HQ Air Staff**
 - **SAF/IG**
 - **Major Commands**



Health Services Inspections (HSI)

(AFI 90-201 Chapter 4)



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- **Assesses AF Medical Services (AFMS) programs**
 - **ability to provide peacetime/wartime missions**
- **Criteria derived from numerous sources, including:**
 - **OASD/Health Affairs**
 - **HQ USAF/SG**
 - **Joint Commission on the Accreditation of Healthcare Orgs (JCAHO)**
- **Frequency: about every 3 years**



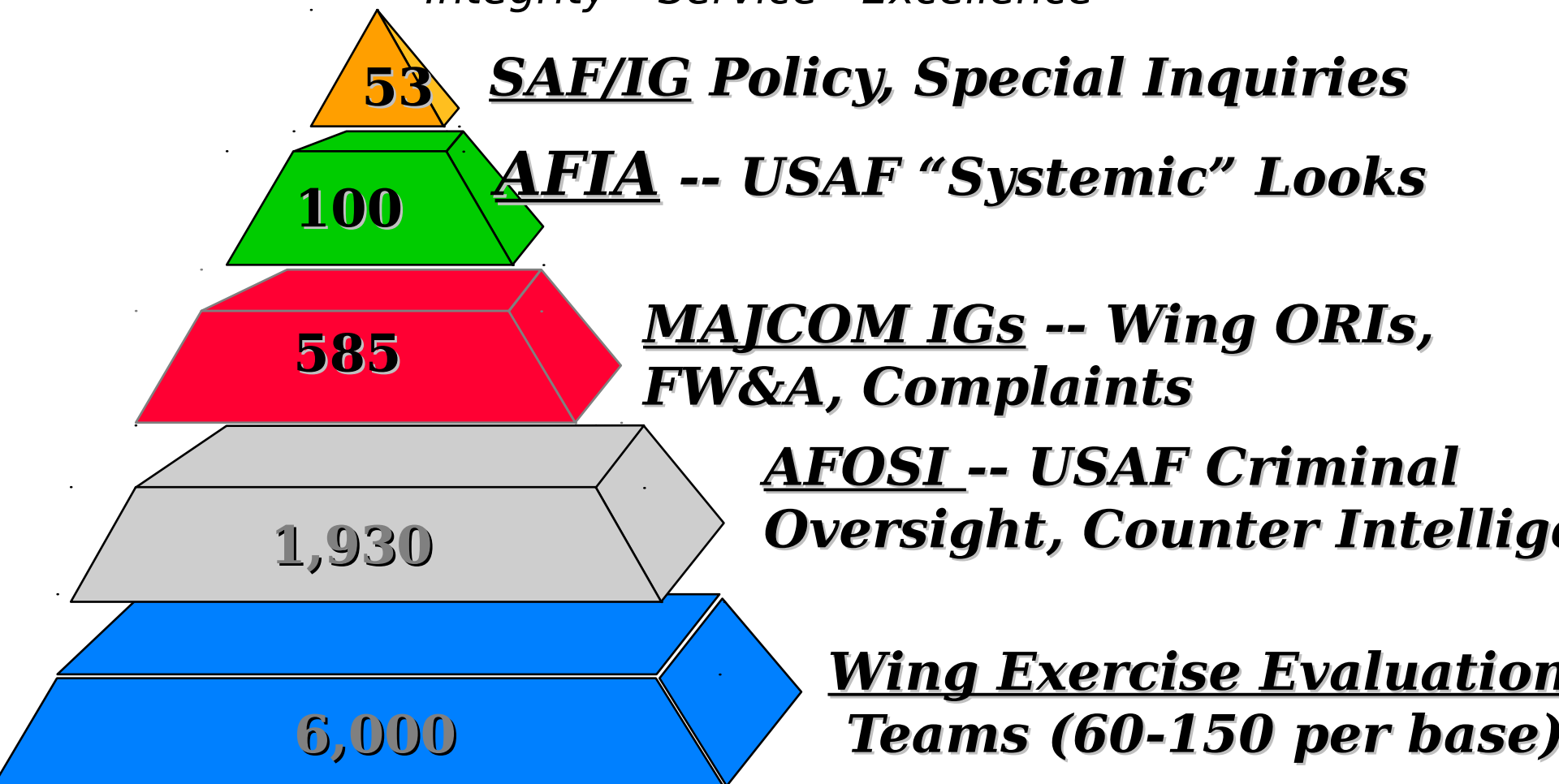


Inspection Personnel



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Enabling Learning Objectives (ELO)



Integrity - Service - Excellence

■ Knowledge and Comprehension ELOs:

- Describe IG Command Relationships
- Describe the purpose and reasons to inspect
- Describe the types of inspections

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